

10/081,969

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0661-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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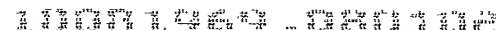
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/081,969	
	Filing Date	02/22/2002	
	First Named Inventor	Cheng	
	Group Art Unit	TBD	
	Examiner Name	TBD	
Total Number of Pages in This Submission	147	Attorney Docket Number	4-31704A/GTI

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Declaration, Sequence Listing
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	(paper and CRF), and Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	J. Timothy Meigs, Attorney for Applicant
Signature	
Date	07/29/2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: July 29, 2002			
US Patent & Trademark Office, P.O. Box 2327, Arlington VA 22202			
Typed or printed name	J. Timothy Meigs		
Signature		Date	07/29/2002

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~~FREE~~ TRANSMITTAL

for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$)	530.00
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Complete if Known

Application Number	10/081,969
Filing Date	02/22/2002
First Named Inventor	Cheng
Examiner Name	TBD
Group Art Unit	TBD
Attorney Docket No.	4-31704A/GTI

METHOD OF PAYMENT

- ☐ Applicant claims small entity status
See 37 CFR 1.27

- ☐
- Check
- ☐
- Credit card
- ☐
- Money Order
- ☐
- Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity	Small Entity
1. Revenue	\$100,000,000	\$10,000,000
2. Assets	\$500,000,000	\$50,000,000
3. Liabilities	\$300,000,000	\$30,000,000
4. Equity	\$200,000,000	\$20,000,000
5. Employees	1,000	100
6. Debt	\$100,000,000	\$10,000,000
7. Capital	\$100,000,000	\$10,000,000
8. Revenue per Employee	\$100,000	\$100,000
9. Assets per Employee	\$500,000	\$500,000
10. Liabilities per Employee	\$300,000	\$300,000
11. Equity per Employee	\$200,000	\$200,000
12. Debt per Employee	\$100,000	\$100,000
13. Capital per Employee	\$100,000	\$100,000

[illegible]

Code (\$)	Code (\$)
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101	740	201	370	Utility filing fee
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106	330	206	165	Design filing fee
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107	510	207	355	Plant filing fee
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107	510	207	255	Plant filing fee
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108	740	208	370	Reissue filing fee
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114	160	214	80	Provisional filing fee
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SUBTOTAL (1)	(\$)
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2. EXTRA CLAIM FEES

		Extra Claims		Free from below	Fee Paid
Total Claims	<input type="text"/>	-20** =	<input type="text"/>	X	<input type="text"/>
Independent Claims	<input type="text"/>	-3** =	<input type="text"/>	X	<input type="text"/>
Multiple Dependent					

	Large Entity	Small Entity
1. Revenue Recognition	Revenue is recognized when the performance obligation is satisfied, which is when control of the goods or services is transferred to the customer.	Revenue is recognized when the performance obligation is satisfied, which is when control of the goods or services is transferred to the customer.
2. Cost of Sales	Cost of sales is recognized when the revenue is recognized, and it is measured at the cost incurred to produce the goods or services.	Cost of sales is recognized when the revenue is recognized, and it is measured at the cost incurred to produce the goods or services.
3. Impairment of Financial Assets	Impairment of financial assets is recognized when there is a decrease in the fair value of the asset, and it is measured at the difference between the carrying amount and the fair value.	Impairment of financial assets is recognized when there is a decrease in the fair value of the asset, and it is measured at the difference between the carrying amount and the fair value.
4. Impairment of Non-Financial Assets	Impairment of non-financial assets is recognized when there is a decrease in the carrying amount of the asset, and it is measured at the difference between the carrying amount and the fair value.	Impairment of non-financial assets is recognized when there is a decrease in the carrying amount of the asset, and it is measured at the difference between the carrying amount and the fair value.
5. Provisions	Provisions are recognized when there is a liability of uncertain timing or amount, and it is measured at the best estimate of the amount required to settle the liability.	Provisions are recognized when there is a liability of uncertain timing or amount, and it is measured at the best estimate of the amount required to settle the liability.
6. Share-based Payments	Share-based payments are recognized when the entity receives services from employees or directors, and it is measured at the fair value of the equity instruments issued.	Share-based payments are recognized when the entity receives services from employees or directors, and it is measured at the fair value of the equity instruments issued.
7. Financial Instruments	Financial instruments are recognized when the entity enters into a contract that gives rise to a financial asset or financial liability, and it is measured at the fair value of the instrument.	Financial instruments are recognized when the entity enters into a contract that gives rise to a financial asset or financial liability, and it is measured at the fair value of the instrument.
8. Income Tax	Income tax is recognized when the entity has a liability to pay tax, and it is measured at the amount of tax payable.	Income tax is recognized when the entity has a liability to pay tax, and it is measured at the amount of tax payable.
9. Other Income	Other income is recognized when the entity receives income from sources other than revenue, and it is measured at the fair value of the income.	Other income is recognized when the entity receives income from sources other than revenue, and it is measured at the fair value of the income.
10. Other Expenses	Other expenses are recognized when the entity incurs expenses from sources other than cost of sales, and it is measured at the fair value of the expenses.	Other expenses are recognized when the entity incurs expenses from sources other than cost of sales, and it is measured at the fair value of the expenses.

Fee Fee Fee Fee

Code (\$)	Code (\$)
100	100
200	200
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9900	9900
10000	10000

103 18 203 9

102 84 202 42

104 280 204 140

104	200	204	140
103	201	203	141

109 84 209 42

^a $\chi^2 = 0.76$, $p = 0.85$.

110 18 210 9

SUBTOTAL (2)	(\$)
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****or number previously paid, if greater. For Reissues, see above**


FEE CALCULATION (continued)

3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	400.00
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					

*Reduced by Basic Filing Fee Paid	SUBTOTAL (3)	(\$)	530.00
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SUBMITTED BY

Name (Print/Type)	J. Timothy Meigs	Registration No (Attorney/Agent)	38,241	Telephone	301-258-4715
Signature				Date	07/29/2002

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08/05/2002 MBERRHE 00000020 10001969
02 FC:116 400.00 CH



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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/081,969	02/22/2002	David Leonard Ennist	4-31704A/GTI

CONFIRMATION NO. 4496

001095
THOMAS HOXIE
NOVARTIS CORPORATION
PATENT AND TRADEMARK DEPT
564 MORRIS AVENUE
SUMMIT, NJ 079011027

FORMALITIES LETTER



OC000000007725502

Date Mailed: 03/27/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/05/2002 MBERHE 00000020 190134 10081969 FILED UNDER 37 CFR 1.53(b)
01 FC:105 130.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
 - drawings contain excessive text. Suitable descriptive legends may be used, or may be required by the Examiner where necessary for understanding of the drawing but should contain as few words as possible (see 37 CFR 1.84(o));
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer

readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*


Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE